



OFFICE OF INSPECTOR GENERAL

STRATEGIC PLAN

1997

**U.S. Department of Education
Office of Inspector General**

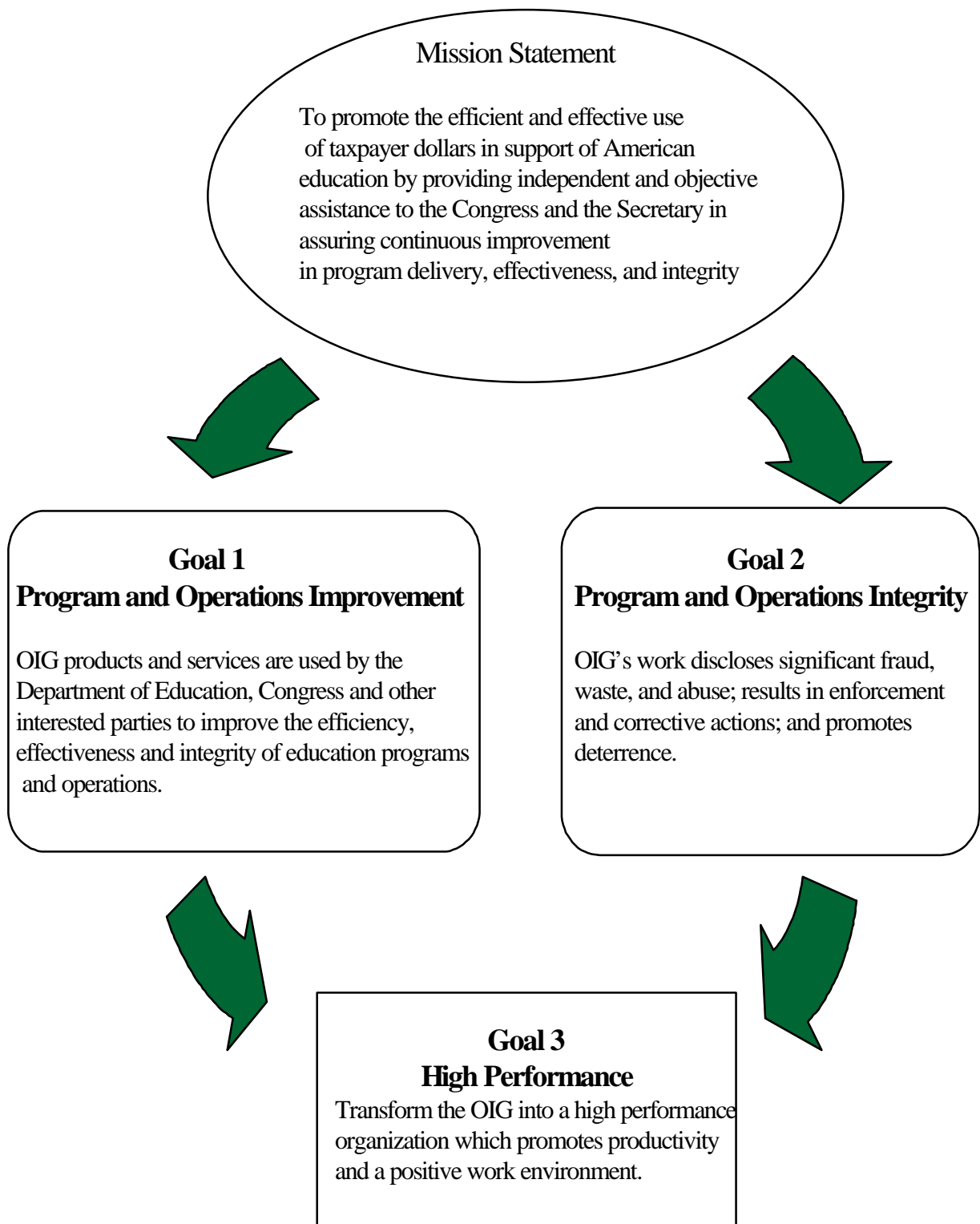
MISSION STATEMENT

To provide the efficient and effective use of taxpayer dollars in support of American education by providing independent and objective assistance to the Congress and the Secretary in assuring continuous improvement in program delivery, effectiveness, and integrity.

***Office of Inspector General Strategic
Plan and Performance Measures***

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OIG Strategic Goals



Performance Measures for Assessing OIG Success in Achieving Its Strategic Goals and Objectives

GOAL 1

Products and services are used to improve programs and operations as measured by:

- 1.1 Number and percentage of significant recommendations accepted.
- 1.2 Number and percentage of significant recommendations implemented.
- 1.3 Surveys of customer satisfaction with OIG products and services.

Work is focused on high priority, high risk activities as measured by:

- 1.4 Degree to which resources (percentage of staff time) were deployed in high priority, high risk activities.
- 1.5 Number and/ or percentage of initial work plan assignments initiated.
- 1.6 Surveys of customer satisfaction with OIG priorities.

GOAL 2

Work discloses significant fraud, waste, and abuse and results in enforcement actions or other significant corrective actions as measured by:

- 2.1 Number and percentage of cases presented for enforcement action that are accepted by enforcement officials.
- 2.2 Number and percentage of presented cases resulting in enforcement actions (i.e. indictments, civil filings, convictions, adverse personnel actions, suspensions and debarments, etc.).
- 2.3 Amount of monetary penalties, settlements, and recoveries.
- 2.4 Number and percentage of significant recommendations in compliance audits accepted.
- 2.5 Number and percentage of significant recommendations in compliance audits implemented.
- 2.6 Amount of dollar recoveries sustained v. recommended in Federal audits.
- 2.7 Amount of dollar recoveries sustained v. recommended in non-Federal audits.
- 2.8 Surveys of customer satisfaction with OIG products and services.

Work is focused on high priority, high risk activities as measured by:

- 2.9 Degree to which resources (percentage of staff time) were deployed in accordance with the work plan.
- 2.10 Surveys of customer satisfaction with OIG priorities.

GOAL 3

A high level of productivity is achieved as measured by:

- 3.1 Percentage of direct time.
- 3.2 Number of significant recommendations.
- 3.3 Percentage of total work plan that was executed during the year.
- 3.4 Number of cases presented for enforcement action that were accepted by enforcement officials.
- 3.5 Percentage of projects completed within budgeted hours.
- 3.6 Ratio of lapsed days to staff days charged to a job.

Employee skill levels improve organization wide as measured by

- 3.7 Skills assessment tools.

A positive work environment is achieved as measured by :

- 3.8 Surveys of employee satisfaction.

Program and Operations Improvement

GOAL 1: OIG products and services are used by the Department of Education, Congress, and other interested parties to improve the efficiency, effectiveness, and integrity of education programs and operations.

Objective 1: Focus OIG work on high priority, high risk, ED programs and operations.

- Strategies:
1. Analyze and interpret information on ED programs, operations, and related activities to identify systemic weaknesses and major opportunities for improvement.
 2. Maintain a dialogue with ED program officials, Congress, and other interested parties to understand their priorities and concerns.
 3. Analyze compliance and enforcement results for trends that indicate the need for systemic program changes.
 4. Develop a work plan that integrates OIG resources to address the major improvement areas.
 5. Complete audits, investigations, and other work to implement the plan.

Objective 2: Provide accurate, objective, and timely information to ED,

Congress, and other interested parties.

- Strategies:
1. Develop a range of products that respond to customer needs and meet our responsibilities under the Inspector General Act.
 2. Communicate the results of OIG work and OIG concerns and issues to ED, Congress, and other interested parties through appropriate and effective means as the semiannual report, testimony, and public information to the mass media.
 3. Alert management officials to emerging issues and problems that could impact on ED programs.
 4. Help assure the effectiveness of non-Federal audits.

[Goal 1- Program and Operations Improvement]

Objective 3: Promote cooperative relationships with Federal, state, and local agencies and other organizations to effectively achieve the OIG mission.

- Strategies:
1. Foster improved lines of communication with other organizations.

2. Participate in ED and external working groups such as interagency forums and committees.
3. Participate in standards setting groups and associations.

Objective 4: Promote actions on OIG recommendations.

- Strategies:
1. Obtain customer input in developing recommendations and provide, when possible, options for implementation.
 2. Monitor the status of open recommendations and elevate issues as necessary.
 3. Provide testimony on OIG legislative recommendations.

MEASURES - GOAL 1

Products and services are used to improve programs and operations as measured by:

- 1.1 Number and percentage of significant recommendations accepted.

- 1.2 Number and percentage of significant recommendations implemented.
- 1.3 Surveys of customer satisfaction with OIG products and services.

Work is focused on high priority, high risk activities as measured by:

- 1.4 Degree to which resources (percentage of staff time) were deployed in high priority, high risk activities.
- 1.5 Number and/ or percentage of initial work plan assignments initiated.
- 1.6 Surveys of customer satisfaction with OIG priorities.

Program and Operations Integrity

GOAL 2: OIG's work discloses significant fraud, waste, and abuse; results in enforcement and corrective actions; and promotes deterrence.

Objective 1: Focus OIG compliance and enforcement activities on serious

instances of illegal and abusive activities.

- Strategies:
1. Analyze information on ED programs, operations, and activities to identify high risk, vulnerable areas and systemic weaknesses.
 2. Include identified areas and weaknesses in the OIG work plan.
 3. Complete investigations, audits, and other work targeted by OIG analysis.
 4. Develop sources of information within the education, audit, and criminal justice communities to improve targeting of OIG work.
 5. Coordinate with Departmental officials and others to effectively address allegations of fraud and abuse.
 6. Provide advice or other necessary assistance to Department officials and officials of other agencies to develop their capacity to address program complaints or allegations of program abuse through alternatives to investigations and audits.

Objective 2: Provide accurate, objective, and timely evidence to support enforcement actions and deterrence. .

- Strategies:
1. Provide reports to prosecutors, program officials, and others.
 2. Provide audit and investigative support and products to prosecutors for criminal and civil proceedings; and program officials for administrative hearings.
 3. Increase the use of asset forfeiture statutes.

[Goal 2- Program and Operations Integrity]

4. Use new technologies to widen the distribution and publicity of enforcement actions.
5. Help assure the effectiveness of non-Federal audits.

Objective 3: Promote cooperative relationships with Federal, state, and local agencies and other organizations.

- Strategies:
1. Develop productive relationships with prosecutorial authorities to enhance our ability to pursue high-impact criminal prosecutions and asset forfeiture actions.
 2. Participate on joint task forces with other agencies and entities to leverage OIG resources.
 3. Foster improved lines of communications with other agencies.

Objective 4: Monitor and follow up on enforcement and corrective actions.

- Strategies:
1. Timely elevation of critical resolution and enforcement issues to the appropriate party.
 2. Use an integrated tracking system to monitor the progress of enforcement and corrective actions.

MEASURES - GOAL 2

Work discloses significant fraud, waste, and abuse and results in enforcement actions or other significant corrective actions as measured by:

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- 2.1 Number and percentage of cases presented for enforcement action that are accepted by enforcement officials.

 - 2.2 Number and percentage of presented cases resulting in enforcement actions (i.e. indictments, civil filings, convictions, adverse personnel actions, suspensions and debarments, etc.).

 - 2.3 Amount of monetary penalties, settlements, and recoveries.

 - 2.4 Number and percentage of significant recommendations in compliance audits accepted.

 - 2.5 Number and percentage of significant recommendations in compliance audits implemented.

 - 2.6 Amount of dollar recoveries sustained v. recommended in Federal audits.

 - 2.7. Amount of dollar recoveries sustained v. recommended in non-Federal audits.

2.8 Surveys of customer satisfaction with OIG products and services.

Work is focused on high priority, high risk activities as measured by:

2.9 Degree to which resources (percentage of staff time) were deployed
in accordance with the work plan.

2.10 Surveys of customer satisfaction with OIG priorities.

High Performance

GOAL 3: Transform the OIG into a high performance organization which promotes productivity and a positive work environment.

Objective 1: Recruit high caliber staff and provide an environment for continuous development for all employees.

- Strategies:
1. Develop a comprehensive recruitment approach.
 2. Implement an effective employee assessment and development program using such tools as skills assessment, individual development plans, and the appraisal system.
 3. Develop an improved employee reward and recognition system that fairly recognizes quality, productivity, and support for OIG values.
 4. Develop career path prerequisites for advancement in

management and technical positions and provide equitable opportunities for training and experience.

5. Provide an environment that fosters accountability, professionalism, creativity, forward-thinking, and open communication.
6. Encourage active participation in relevant professional organizations .

Objective 2: Continually improve the quality and timeliness of processes used to produce OIG products, and services.

- Strategies:
1. Optimize the involvement of OIG managers and A&A team members in the planning, review, and production of OIG products and services.
 2. Enhance OIG analytical capabilities to identify program vulnerabilities and assess controls.
 3. Evaluate and improve OIG products and services by utilizing process improvement methodologies.

[Goal 3-High Performance]

4. Develop an integrated electronic data input and retrieval system to provide access to all OIG products, information, and analyses.
5. Improve coordination and communication between related audit, investigative, and legislative efforts.
6. Identify new approaches, tools, and technologies and adopt those that enhance our processes and products.
7. Identify advances in new technology and update OIG resources as necessary.

Objective 3: Increase the percentage of time devoted to external OIG products and services.

- Strategies:
1. Increase the percentage of time of OIG managers and A&A team members in the planning, review, and production of external OIG products and services.
 2. Eliminate unnecessary indirect time activities.
 3. Improve the efficiency of indirect time activities.

MEASURES - GOAL 3

A high level of productivity is achieved as measured by:

- 3.1 Percentage of direct time.
- 3.2 Number of significant recommendations.
- 3.3 Percentage of total work plan that was executed during the year.
- 3.4 Number of cases presented for enforcement action that were accepted by enforcement officials.
- 3.5 Percentage of projects completed within budgeted hours.
- 3.6 Ratio of lapsed days to staff days charged to a job.

Employee skill level improve organization wide as measured by:

3.7 Skill assessment tools.

A positive work environment is achieved as measured by :

3.8 Surveys of employee satisfaction.